

3 December 1981

MEMORANDUM FOR : PMAB Members

STAT FROM :
Secretary, Personnel Management Advisory Board

SUBJECT : Performance Appraisal System

1. Attached is a redesigned PAR form and proposed instruction sheet prepared in accordance with EXCOM approval of our original recommendation to simplify the form. Please note that we are at one page, with only one form that includes the Advance Work Plan concept. There is a block for the employee to initial acknowledgement that there has been a discussion of the duties and performance standard(s) (NOT PAR rating level) expected at the beginning of the rating period. At the meeting we wish to discuss this format and the means of accomplishing the principle of the Advanced Work Plan concept without requiring an additional piece of paper. Some suggestions:

a. Have the PAR form provided at the beginning of the rating period rather than at the end so that the duties and standards expected may be discussed at that time with the employee acknowledging such a discussion on the PAR form itself. The supervisor would then hold the report until the end of the rating period when the appropriate PAR ratings would be added and the report completed.

b. Allow supervisors the option to document the discussion concerning duties and standards in a memorandum for the record which would be retained in the supervisor's own file for the duration of the rating period and destroyed when the PAR is prepared.

c. Allow Office Heads to publish through their own systems the performance standards expected of their employees office-wide for use in supervisor's discussion with the subordinates.

In considering the above suggestions, there are some important questions to keep in mind and that we should plan to discuss:

a. How great, if any, is the potential for misunderstandings of conversations concerning duties and standards expected without

a written agreement ("If you didn't understand, why didn't you ask?" "I thought I understood so there was no need to ask....")?

b. How difficult will it be to devise valid performance standards for an entire office which would cover a variety of job categories? (Performance standard is not meant to be the PAR rating level, but the standard applied to the achieving of that level.)

c. What are the problems caused by assignment or duty changes during the period a supervisor is holding the PAR form for employees?

d. If supervisors document their discussions in a separate piece of paper, would it be better to provide a uniform format to do so?



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Section A

1. Soc. Sec. Number	2. Name (Last, First, Middle)	3. S.D.	4. Sched	5. Grade
6. Affiliation		7. Occupational Title		
8. Office/Division/Branch of Assignment		9. Current Station		10. Hqs.
11. Reporting Period		12. Date Report Due in OP	13. Type of Report	

Section B

Qualifications Update

Qualifications Update (Form 444N) is ___ is not ___ attached (submit only if there are changes)

Section C

Key Job Elements--Employee Acknowledgement

I was informed specifically of the key elements of the job at the beginning of the report period. I was also informed of the performance standard(s) used for determining the ratings listed.

Date

Typed or printed name and signature (employee)

Key Job Element No. 1

Key Job Element No. 2

Key Job Element No. 3

Key Job Element No. 4

Key Job Element No. 5

Key Job Element No. 6

Section D

Overall Employee Performance Rating

Taking everything into account about the employee which influences his/her effectiveness on the job, I rate the employee's overall performance at this level.

Section E

Certification by Supervisor

Months employee has been in this position ___	Months employee has been under my supervision ___	Interim Discussion(s) was ___ was not ___ held ___	Reason for NOT showing employee this report is attached Yes ___ No ___
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Section F

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NARRATIVE COMMENTS

1. By Supervisor

Date

Title

Typed or Printed Name and Signature

Employee Certification

I have reviewed my supervisor's comments and discussed my job performance ratings with him/her. My signature does not necessarily imply my agreement with either.

Date

Typed or Printed Name and Signature

2. By Reviewing Official

Date

Title

Typed or Printed Name and Signature

3. By Employee

I have read my reviewing officials comments. My signature does not necessarily imply my agreement with them.

I have ☐ have not ☐ attached a statement containing my comments about this Performance Appraisal Report.

Date

Position Title

Typed or Printed Name and Signature

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Section A--General Information

- .This section will be pre-printed by computer.
- .No changes are to be made except for name changes or the reporting period, if necessary.

Section B--Qualifications Update

- .Indicate whether employee's qualifications are updated during the reporting period and whether the update form is attached.

Section C--Key Job Elements--Employee Acknowledgment

- .The purpose of this section is to assure that employees are fully aware of all major aspects of their job and of the work performance expected of them by their supervisor. Employees should know their individual roles in the organizational component in which they work.

- .Those elements of an employee's job that are essential to success in that job are called "key" elements. Key elements consist of a grouping of individual tasks and collectively cover the major duties and responsibilities of the position. List in order of importance the key job elements to be performed during the report period. Describe each job element clearly and in sufficient detail to provide a good understanding of its nature.

- .The employee also must be informed at the beginning of the report period of the performance standard(s) to be used in determining the rating level to be given for each of the key job elements listed. A standard is a description of what an employee must do to perform a specific task or job element at a specified level. It is, in fact, a yardstick that enables a determination whether the employee is meeting or exceeding established standards of performance. The same standard should be used to measure the work performance of employees whose key job elements are the same. However, jobs of the same general kind but at different grade levels should have different performance standards.

- .The employee signature in this section acknowledges that he or she has been informed of the key elements of the job and of the standards the supervisor will use in providing ratings at the close of the report period.

Section D--Overall Employee Performance Rating

- .The overall performance rating should represent the total effectiveness of the individual in fulfilling the requirements of the job. Each job element should be given its appropriate weight so that the overall rating is not necessarily an average of the rating level given to each job element. In addition, all other job-related factors should be considered, e.g., the quantity and quality of the work produced; the amount of supervision required, sensitivity to the principles of equal employment opportunity, practical judgment in dealing with difficult situations or in solving problems, etc.
- .An overall performance rating of 2 indicates the employee is not eligible for a periodic step increase (PSI). An employee must have an overall rating level of 3 or higher to qualify for a PSI.

Section E--Certification by Supervisor

- .When for any reason the supervisor does not show the employee the PAR or discuss it with him or her, the explanation must be prepared in writing and attached to the PAR for the record.

Section F--Narrative Comments

1. By Supervisor

- .The first sentence of the narrative in reports on employees in trial period status must recommend for or against continued employment.
- .The narrative comments of the supervisor must support the rating level given the employee. The connection with the performance standard must be made, and all remarks and observations should be limited to and relate directly to job behaviors of the employee in the performance of his or her official duties.

.It is important that supervisors provide sufficient explanation and detail in this section so that career panels and boards will understand the basis for the overall rating. Management officials need to know what employees' strengths and weaknesses are; they depend largely on supervisory officials for this information.

.The following factors must be addressed in reports for supervisory and managerial employees. The supervisor's signature will certify that all factors have been considered and that the employee has done a satisfactory job in all respects. Specific comment is required when the supervisor evaluates the employee as being either deficient or more than satisfactory in any of these factors.

Subordinate management and development

Quality of performance appraisals

Delegation of responsibility

Equal employment opportunity

Use of personnel, space, equipment, funds, etc.

Goal setting and achievement

Employee Certification

The employee's signature certifies that he or she has read the supervisors comments and the rating given for the report period and has discussed them with the supervisor. The signature must not be construed to mean that the employee necessarily agrees with the contents of the report.

2. By Reviewing Official

.The reviewing official must provide substantive comment on the individual being rated wherever possible. (In rare instances there may not be an appropriate reviewing official). If the reviewer is in substantial disagreement with the supervisor the evaluation should be discussed with the supervisor and the employee. The reviewing official's signature certifies that all requirements for completing the PAR in accordance with instructions have been met.

3. By Employee

.The employee's signature certifies that he or she has read the reviewer's comments and as indicated in number 3 does not mean that the employee necessarily agrees with them. Employees also have the option to comment on the evaluation they receive and should check () appropriately in the space provided. It is important that employees feel free to make their views known regarding their work performance, and they may choose to make them a matter of record. Any problems or strong disagreements which result from the PAR should be resolved at the rater or reviewer level. When this cannot be done employees may appeal their performance evaluations in accordance with

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SECTION C

PERFORMANCE APPRAISAL DEFINITIONS

Individual Duty

1. Individual consistently fails to meet . . .
2. Individual frequently fails to meet . . .
3. Individual occasionally fails to meet . . .
4. Individual fully meets . . .
5. Individual occasionally exceeds . . .
6. Individual frequently exceeds . . .
7. Individual invariably exceeds . . .

Overall Performance

- Performance does not meet . . .
- Performance frequently does not meet . . .
- Performance generally meets . . .
- Performance meets all established . . .
- Performance occasionally exceeds . . .
- Performance frequently exceeds . . .
- Performance invariably exceeds . . .

11:30 am

ROUTING AND RECORD SHEET

SUBJECT: (Optional)

Performance Appraisal System

FROM:

Secretary, Personnel Management
Advisory Board - 1006 Anes

EXTENSION

NO.

DATE

3 DEC 1981

TO: (Officer designation, room number, and
building)

DATE

RECEIVED

FORWARDED

OFFICER'S
INITIALSCOMMENTS (Number each comment to show from whom
to whom. Draw a line across column after each comment.)

1.

Chief, DDO/CMS
2C20 Hqs

2.

3.

Harry Fitzwater
DDA - 7D18 Hqs.

4.

5.

D/FBIS - 1013 Key

6.

7.

Charles A. Briggs
IG - 6E18 Hqs

8.

9.

Clarus W. Rice
OCR - 2E60 Hqs

10.

11.

AO/DCI - 7CI7 Hqs

12.

13.

DDS&T/Admin - 6E34 Hqs

14.

15.

At the EXCOM meeting in October 1981, OP was directed to provide an alternative to the recommendations made to revise the PAR system. We must report back to the DDCI on 4 January 1982 with a proposed system, with no optional features, which will be applicable to all Agency employees. (You may recall that we had recommended the AWP be made optional.) In view of this deadline, we would like to hold a meeting on this subject as soon as possible and will be calling to arrange for one sometime within the next two weeks.

(PERSONNEL) (MANAGEMENT) (ADVISORY) (BOARD)

AGENDA

14 December 1981, 11:00 a.m., Room 5E62 HQS

- I. Status on various items by the Director of Personnel.
- II. Discussion of Performance Appraisal System modifications.
- III. Review of the list of personnel management items to be studied by Policy and Programs Staff, Office of Personnel.

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PERSONNEL MANAGEMENT ITEMS TO BE STUDIED
BY POLICY AND PROGRAMS STAFF/OP

9 December 1981

1. Are we attracting and maintaining the critical skills the Agency needs?
2. Why good employees are leaving.
3. Issues that develop from the Uniform Precepts study. - 6 Jan
4. The value and use of rotational assignments.
- CORR - 5. The effectiveness of the awards system.
6. Assuring a certain percentage of lateral input from the private sector.

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